

SUMMARY OF CONSULTANTS' RECOMMENDATIONS
CONCERNING NEW CASE MANAGEMENT,
FAMILY, DAY AND RESIDENTIAL SERVICES

JOINT PROJECT OF
THE ASSOCIATION OF RESIDENCES FOR THE RETARDED IN MINNESOTA
AND
THE DEPARTMENT OF PUBLIC WELFARE
AND
THE MINNESOTA ASSOCIATION OF REHABILITATION FACILITIES
AND
THE MINNESOTA DEVELOPMENTAL ACHIEVEMENT CENTER ASSOCIATION

This report summarizes the recommendations made by the four consultants who were hired to provide their perspectives on new service models for the State of Minnesota and, when appropriate, incorporate those recommendations with suggestions made by the reactor panels. This summary contains the following five sections:

- o General system recommendations
- o Case management recommendations
- o Family support service recommendations
- o Day and work services recommendations, and
- o Residential recommendations.

GENERAL SYSTEM RECOMMENDATIONS

1. DPW should develop and publish a set of principles to be used in developing and implementing the delivery of services to mentally retarded individuals in Minnesota.

Rationale

- o Minnesota does not have the comprehensive plans that other states have developed.
- o Moderate dissatisfaction with current directions is present.

Specific Suggestions

- o The principles should form the rationale for DPW's five-year plan.
- o The principle should be addressed in any subsequent implementation strategy by DPW, service providers, and each of the 87 counties.
- o Community-wide input must play an important role in developing the principles.
- o More attention to the enforcement of existing rules is needed.

- o The principles should strengthen DPW's voice in determining case management, thereby lessening private providers control of the system.
- o The five-year plan should be flexible to allow for yearly or biennial updating.
- o Work for legislation that eliminates court commitment of mentally retarded citizens and that changes guardianship practices for adults.
- o Philosophical statements should be operationally defined in terms of how the system is to work.

2. Each of the 87 counties should be required to develop a five-year plan that is consistent with DPW's plan for the state.

Rationale

- o There is a dangerous absence of information concerning what services counties offer to mentally retarded citizens.
- o The counties need some overall guidance in preparing specific implementation plans.

Specific Suggestions

- o Counties' plans must be detailed enough so that DPW can facilitate the development and funding of specific proposals.
- o Counties with large numbers of retarded citizens should consider establishing Mental Retardation Divisions.
- o Counties must have maximum control over services and placement since they are to be given the major responsibility for the delivery of services to mentally retarded citizens.
- o Counties should not be subject to control of funding by regional coordinators.
- o Financial incentives must be developed to encourage counties to remove people from institutions.
- o Counties should have the authority to enter into contracts for services to be provided to their mentally retarded citizens.

3. DPW must take the initiative in involving state hospitals, counties, service providers, and parents in discussions of the role of state hospitals in the five-year plan.

Rationale

- o The population of mentally retarded citizens in state hospitals will decrease dramatically.

Specific Suggestions

- o The counties must assume a significant role in program development which is closely tied to case managers' identification of clients' needs.
- o The state must be committed to the belief that no one should live in a setting larger than a family.

4. DPW should develop an evaluation and monitoring system to assess the quality of services provided to mentally retarded citizens beyond what occurs for licensing.

Rationale

- o Licensing relies too heavily on non-programmable criteria (e.g., physical facilities), increases cost of services, and does not ensure quality services.

Specific Suggestions

- o Evaluation and monitoring should be included in the waiver.

CASE MANAGEMENT RECOMMENDATIONS

1. All case managers should have four primary functions: assessing clients' needs, locating and planning services to meet clients' needs, linking and monitoring services, and advocating for the client and for mentally retarded citizens in general.

Rationale

- o The case manager is the key staff person in helping, the retarded citizen meet his/her human needs.
- o Too much emphasis has been placed on the case manager as "just a referral source."
- o The case manager must be a direct link to the development of new services and to decision-making related to use of resources.

Specific Suggestions

- o Clearer statements of the case manager's monitoring responsibilities are necessary.
- o The persuasive rather than administrative role of case managers must be emphasized.
- o DPW should assign major responsibilities for overseeing case management to the counties but should retain limited oversight responsibilities.
- o Case managers should take a productive role in developing a greater number and variety of alternatives.

2. Work towards an ideal goal of having an overall 1:25 case management ratio.

Rationale

- o Case management becomes more time consuming in non-residential settings.
- o Mandating a 1:25 ration at present would be impossible to implement.
- o Case management systems should allow for differing levels of case manager intervention.

Specific Suggestions

- o Use case aides and interns to perform specific tasks.
- o Use parents as case managers, when appropriate, and after they have been trained and certified.
- o Eliminate duplication resulting from several people managing various aspects of a particular case by having the county case manager be the sole locus of responsibility.
- o Explore ways to make case management more efficient (e.g., the same manager for all retarded citizens within a community).
- o Encourage case managers to work together to identify clients needing particular types of services and encourage the case managers to take an active role in developing the service.

3. DPW should initiate efforts to transfer central funding to the case manager function at the county level.

Rationale

- o Transfer of funding will occur as a result of reduction in existing programs.

Specific Suggestions

- o Transfer funded positions as they become available as a result of hospital closings.
- o Implement cost containment procedures by examining current rate-setting procedures.
- o Encourage case managers to identify cost savings when clients' needs decrease.
- o Resource allocation should be better controlled to allow quick financial response to changing situations.
- o Counties should begin the process by submitting to DPW their plans and costs in meeting needs of their retarded citizens.
- o Client needs, not administrative or property costs, should form the basis for determining program costs.

4. DPW should take the initiative in developing a statewide information system that addresses the specific human needs of mentally retarded citizens.

Rationale

- o There is a need for mechanisms to identify most needy clients so that appropriate resources can be allocated.
- o Some global mechanisms, other than case management, are necessary for the approval of the use of existing financial resources.

Specific Suggestions

- o Include in the system descriptions of citizens' needs and the types of residential, day and support services available in the community.
- o Encourage the development of new services to meet the needs identified by client needs assessment.

5. Case management should begin with the development of a written plan that specifies ideal client goals and objectives and specifies a reasonable time framework for moving to the ideal.

Rationale

- o Case management must occur within the context of ideal goals for particular clients.
- o Case management is the key entry point into a system's services.

Specific Suggestions

- o Placement aspects of the plan should identify the location, staffing, and special requirement a placement home should include.
- o The plan should address the case manager's responsibilities in enabling the client to live in the community.
- o The plan must include recreational and social opportunities for clients placed in small residential settings to prevent isolation.
- o The plan should specify the intensity and frequency of staff intervention.

FAMILY SUPPORT SERVICES

1. Identify an individual's need for family support options as soon as condition is identified, and prepare a comprehensive written plan for meeting the individual's needs.

Rationale

- o Early identification leads to early planning and intervention.
- o Services provided in typical community settings tend to produce positive outcomes.

Specific Suggestions

- o Base the initial plan on how to help the family meet the basic human needs of its retarded member.
- o Priority should be given to children to maximize their potential for improvement.
- o Each service should be clearly identified in terms of its purpose and setting.

2. Base an individual's plan for services on resources necessary to increase a retarded citizen's competencies within the family environment.

Rationale

- o An overall goal is the integration of retarded citizens into the natural activities of the community.

Special Suggestions

- o Consider the purposes of increasing competence, maintaining competence, restoring competence, and promoting effective case management in developing the plan
- o Avoid use of diagnostic labels that have little usefulness.

3. More time, energy, and resource are needed to build community support for family support services, especially residences.

Rationale

- o Past failures have resulted from insufficient attention to community issues.

Specific Suggestions

- o Involve members of the community in the planning, implementation, and management of support services.
- o Overstaff services in initial phase to ensure maximum supervision.
- o Design settings and practices to be as similar as possible to those valued by the community.
- o Emphasize community education and public awareness of the value of community based services.

4. The focus for comprehensive decisions about family support devices should be on resources necessary to keep the retarded citizen within her/his family.

Rationale

- o There will be a heavy demand for family based services, so decisions must be based on a clear statement of need.

Specific Suggestions

- o Consider all options, including both material options (e.g., construction, appliances, equipment) as well as people options (e.g., housekeeper, teacher).
- o Disregard parents'/spouse's income in determining resources necessary.
- o Services must support the capability of the family to deal with a retarded member of the family.
- o Consider using direct financial subsidies to families, but include mechanisms to ensure quality and proper use of funds.
- o Respond to requests for family services' based on urgency of need (i.e., to what extent are services needed to stabilize the in-home life of a client).
- o Encourage the development of respite services to families, but not as an alternative to residential or day services.

5. Family support services should be provided in a manner as similar as possible to those experiences of people in general.

Rationale

- o Grouping and special programs can lead to isolation and labeling.

Specific Suggestions

- o Services should include age appropriate roles (e.g., work).
 - o Services should be provided in day, evening, and weekend modules.
 - o All services should be accessible to all retarded citizens, regardless of place of residence.
6. Counties must play the leading role in developing and implementing family support programs to meet the human needs of its retarded citizens.

Rationale

- o Case managers play a critical role in the coordination of services.

Specific Suggestions

- o Counties should consider three delivery models (facilitation, purchase of services, and direct provision) in family services, and select the model(s) appropriate to their situation.
 - o Evaluation of services should occur on an annual basis,
 - o Counties should develop staff training programs that emphasize value based skills training.
 - o The state should contract with counties to develop model in-home support systems.
7. DPW and the counties should pay greater attention to the family's need for the psychological and peer support necessary to maintain a retarded member within the family structure.

Rationale

- o Maintaining a retarded person in the home requires social support for the family as a whole.

Specific Suggestions

- o Encourage the use of citizens' advocates.
- o Remove rules, regulations and practices of the formal system that serve as barriers to informal support.
- o Use housing, learning, and working environments to foster informal support.
- o Develop additional training, education and counseling services for families.

DAY AND WORK SERVICES

1. DPW should take the initiative in developing a plan to expand the number and variety of day and work services available to retarded citizens.

Rationale

- o Concern about program closing without prior work in developing new options is fruitless.

Specific Suggestions

- o Develop statewide training conferences to introduce counties to new options in day and work services.
- o Include seminars for planners that discuss system change strategies.
- o Use PASS training to emphasize a values perspective in serving individuals in the community.
- o Emphasize the need to provide day and work services in the community.
- o Base decisions about appropriate settings for individuals on experiential assessments of the individual.

2. Counties should be given responsibility and control in working with providers to develop day and work services independent of other services.

Rationale

- o Too much emphasis has been placed on process aspects of facilities in establishing licensing guidelines.
- o Providers of day and work services have not been required to address achievement of objectives for specific mentally-retarded individuals.
- o Currently, there is little direction and few expectations concerning day and work programs.
- o Multi-purpose programs tend to congregate de-valued people.

Specific Suggestions

- o Day and work program staff should not perform case management functions.
- o Counties should establish their own processes for reviewing day programs.
- o Separate day from residential programs.
- o Encourage case managers to identify individuals who no longer need a particular service.

3. Emphasize the development of new and varied opportunities for retarded citizens within as natural an environment as possible.

Rationale

- o Wages are the desired outcomes of employment for all individuals.
- o The current system places too much emphasis on non-vocational day programs.
- o DACs are unable to meet the long term and transitional employment needs of workers.
- o Sheltered workshops are currently seen as the only option after DACs.

Specific Suggestions

- o Develop a set of options within the broad categories of "long term employment with intensive support" and "competitive employment with transitional support."
- o Stress the importance of outcomes: employment, wages and other benefits, and integration into the work environment.
- o Shift the DACs to an employment orientation.
- o Sheltered workshops should not have a role in creating additional options for the severely retarded.
- o Encourage greater flexibility in models used by DACs, decreasing the emphasis on educational processes.
- o Case managers should monitor the employment experiences of their case load.
- o Encourage the development of new businesses with the mentally retarded in mind.
- o Incorporate learning experiences into the work environment, since people learn best in the environment in which they are expected to perform.

Rationale

- o Waivered services for vocational and employment services can lead to eligibility denial, falsification and excessive paperwork.
- o The need for services of a non-vocational nature will increase.

Specific Suggestions

- o Emphasize the use of waivers for "habilitation" in non-vocational areas, programs for the elderly, and services for children.
- o Combine training, therapeutic and support functions in developing non-vocational options.
- o Non-vocational activities should take place in the community and emphasize the activities that people without jobs in the community typically do.

RESIDENTIAL RECOMMENDATIONS

1. DPW should develop a set of residential service principles that are consistent with DPW's general principles as applied to mentally retarded citizens and that work towards reducing Minnesota's dependence on out-of-home placement.

Rationale

- o General principles are insufficient to encourage the development of residential services.
- o The state currently has too few alternatives in its residential services.
- o Continued emphasis on residential services is expensive and not in the best interests of retarded citizens.

Specific Suggestions

- o The residential service principles should include numerous alternatives to describe various "options" available to mentally retarded citizens, depending on their level of retardation.
- o The options should be flexible, to accommodate the changing needs of the mentally retarded population.
- o The options should be described in terms of the necessary level of staff support and associated additional support services and activities.
- o Specialized residential programs for hard-to-serve individuals should be developed.
- o The Family Subsidy Program should be renamed the Home Support Program and included as an option available to a mentally retarded person.

2. Specific physical facilities should be encouraged to provide services at more than one level of care, but no new construction should occur.

Rationale

- o Flexibility in services provided by a facility is necessary to facilitate the mentally retarded person's growth and development.

Specific Suggestions

- o The capacity to provide services at several levels should be a feature of any waived service agreement.
- o Access to residential options must be the same for every mentally retarded person, regardless of prior residence in a facility or county of residence.

3. Very specific guidelines must be developed concerning those eligible for waived services, a decision to be made by the state or county, in order to give greater flexibility in funding.

Rationale

- o The need for cost containment continues to be an important issue.

Specific Suggestions

- o The state must develop guidelines and then relinquish control to the counties.
- o Initial criteria for determining "imminently at risk" should be tightly and narrowly defined to demonstrate cost containment.
- o Cost savings to the state due to the waiver should be used to equalize mental retardation services across the 87 counties in the state.
- o The Family Support Program should be included in the waiver as a fundable service, the service of "first choice" in meeting a client's residential needs.
- o The current SILS Program should be included as a service in the Home and Community Based Waiver.

4. DPW must take the initiative in communicating with counties about waivers and must include counties in the rate setting process.

Rationale

- o Current waivers are not well understood, resulting in less support for future waivers and little discussion on how waivers can improve the quality and availability of services to mentally retarded citizens.
- o Discussions about what waivers can and cannot do are necessary to build support for waivers.
- o Counties must have a role in setting program rates to ensure success of the programs.

Specific Suggestions

- o DPW should prepare and distribute to counties and consult with them about the various waivers DPW intends to apply.
- o Legislation should be developed to equalize county contribution for SILS programs.
- o DPW should include county representation in the rate-setting process.
- o DPW should develop incentives to encourage counties to join together to develop and provide services, especially for small counties or specialized services.
- o The counties should be involved in determining the roles and responsibilities of the Regional Coordinator.

5. DPW must take steps to ensure that the decentralized system of residential services does not compromise human rights.

Rationale

- o Centralized services are more easily monitored.

Specific Suggestions

- o Minimum orientation and training standards should be established for all residential employees within every facility in all 87 counties.
- o Counties should establish "human rights and ethics committees" to monitor intervention programs used in residential programs in order to safeguard against abuse.
- o Conduct workshops on the differences between institutional and community based management of services for mentally retarded citizens.

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